

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled

APPARATUS AND MEHTOD FOR ADDING LIQUIDTY TO AN ECN
AND IMPROVING EXECUTIONS OF ORDERS FOR SECURITIES

the specification of which: (check one) ☒ is attached hereto.

☐ was filed on _____
Attorney Docket No. T30364US

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known by me which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed: **NONE**

Prior Foreign Application(s):

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in this manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §156 which became available between the filing date of the prior application and the national or PCT international filing date of this application: **NONE**


_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status: pending, patented, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status: pending, patented, abandoned)

I hereby appoint the following attorney(s) and/or agent(s): Gordon T. Arnold (Reg. No. 32,395), John R. Biggers (Reg. No. 44,537), Kenneth P. Beyers (Reg. No. 36,409), Jeffrey S. Schubert (Reg. No. 43,098), and H. Artoush Ohanian (Reg. No. 46-022), all of the firm Arnold & Associates, 2603 Augusta, Suite 800, Houston, Texas 77057, telephone number (713) 972-1150, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

00647227.002200

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full Name of First or Joint Inventor: Omar Amanat

Inventor's Signature:  Date: 8-17-00
Residence: _____
Citizenship: United States of America
Post Office Address: Same

Full Name of Second or Joint Inventor: Michael Bundy

Inventor's Signature: _____ Date: _____
Residence: 22422 Cove Hollow, Katy, TX 77450
Citizenship: United States of America
Post Office Address: Same

002280-2221960

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full Name of First or Joint Inventor: Omar Amanat

Inventor's Signature: _____ Date: _____
Residence: _____
Citizenship: United States of America
Post Office Address: Same

Full Name of Second or Joint Inventor: Michael Bundy

Inventor's Signature: MB Date: 6/29/00
Residence: 22422 Cove Hollow, Katy, TX 77450
Citizenship: United States of America
Post Office Address: Same

002222-002222

036 09/643227

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

8-22-00

04/16

Applicant or Patentee: Amanat, O., and Bundy, M.,

Serial or Patent No.: Unassigned

Filed or Issued: Filed Herewith

Title: Apparatus and Method for Adding Liquidity to an ECN and Improving Executions of Orders for Securities

I hereby declare that I am

- ☐ the owner of the small business concern identified below;
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN TRADESCAPE TECHNOLOGIES, L.L.C.

ADDRESS OF SMALL BUSINESS CONCERN 499 Park Avenue, Suite 22

New York, New York 10022

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in the document identified above entitled:

Apparatus and Method for Adding Liquidity to an ECN and Improving Executions of Orders for Securities
(Title of the Invention)

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed. I hereby declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

NAME OF PERSON SIGNING SEEMA KHAN

TITLE OF PERSON IF OTHER THAN OWNER General Counsel

ADDRESS OF PERSON SIGNING 499 Park Avenue, Suite 22, New York, New York 10022

SIGNATURE Seema

DATE June 13, 2000